

# DTC Pledge Processing

## OPTIMIZE YOUR COLLATERAL UTILIZATION STRATEGY WITH AUTOMATION

Financial institutions and broker dealers face operational complexities in the competitive world of collateralization. As they navigate risks in the pursuit of their objectives, different avenues of opportunities arise to help optimize their collateral utilization.

By leveraging a reliable and analytical facilitator that automatically calculates and pledges excess collateral to BNY Mellon Triparty deals, firms can manage their use of collateral strategically and generate overnight funding to support their trading and investing goals. Automatic calculations and bulk pledge and release functions improve operational efficiencies for client users.

## GAIN CONTROL AND REDUCE SETTLEMENT RISK THROUGH THE PLEDGE DASHBOARD (PLDB)

### Pledge Dashboard Summary Tab

- Real-time display of free and pledge box positions
- View positions allocated triparty deals
- Projected deliveries and receives from the free box are calculated to automatically provide recommended pledge/release amounts
- Pending buckets are provided to show movements in progress between depositories

### Pledge Dashboard Status Tab

- View message statuses to reduce settlement risk
- Initiate pledge and release movements to create depository movement entries (DME)
- Monitor DME statuses in real-time from the Pledge Status tab
- Receive detailed error messages provided to quickly identify and manage exceptions

## EFFICIENTLY MANAGE THE PLEDGING OF DTC COLLATERAL FOR BNY MELLON TRIPARTY ALLOCATIONS

The DTC Pledge Module within *impact*<sup>SM</sup> offers clients the ability to streamline and automate the pledge and release of DTC collateral to the Bank of New York Mellon (BNYM) to meet industry obligations (i.e. Triparty allocations/fills).

DTC Pledge acts as a command center within *impact* to monitor and perform free pledge and release of collateral. Users will be able to view recommended pledge and release amounts on the pledge dashboard. Users can either submit bulk movements for all eligible securities or select individual securities to submit pledge and release requests to DTC.



### DTC PLEDGE PROCESSING BENEFITS:

- Improve collateral utilization by allowing firms to use their excess DTC collateral for BNYM Triparty deals, enabling firms to borrow cash to fund daily activity.
- Provide a link between *impact* and DTC to facilitate the bulk transfer of securities between designated Pledgor and Pledgee accounts.
- Seamless integration with existing functionality and includes a new end of day pledge activity report.
- Easily reconcile Pledgor and Pledgee account positions between *impact* and DTC.
- View collateral excess and deficits through the pledge dashboard, and initiate pledge and release movements based on recommended calculations.
- Monitor and view pledge and release message statuses in real-time on the pledge status tab. Provide the ability for users to view messages from DTC, and display the status for each pledge/release movement initiated from the dashboard.

## THE PLEDGE DASHBOARD (PLDB)

A highly customizable display for users to view security availability in real time, and immediately initiate collateral movements between depository accounts.

Pledge Dashboard - JQ3 : FUNCTIONALITY DEMO ENTITY JQ3 ?

Request Completed at 15:36:34

Pledge Summary		Pledge Status									
Select All	Unselect All	Pledge Selected	Release Selected	Bulk Pledge	Bulk Release	View: Pledge View	Pagination Size: 500				
	CUSIP	Free Box Amount	Projected Deliver Amount	Recommended Pledge	Amount Pledged	Pledge Amount Available	Pledge in Progress	Projected Receive Amount			
<input type="checkbox"/>	-- 038222A...	5	3	2	20	2	0				
<input type="checkbox"/>	-- 05367AA...	10	2	8	5	8	0				
<input type="checkbox"/>	-- 097023B...	8	0	8	0	8	0				
<input type="checkbox"/>	-- 207737F...	7	0.5	6.5	19	6.5	0				
<input type="checkbox"/>	-- 20854PA...	2	0	2	0	2	0				
<input type="checkbox"/>	-- 212015A...	23	3	20	0	20	0				
<input type="checkbox"/>	-- 26442CA...	4	0	4	10	4	0				
<input type="checkbox"/>	-- 31430Q...	11	0	11	0	11	0				
<input type="checkbox"/>	-- 68245JAB6	20	0	20	0	20	0				

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## CONTACT US

For additional information, please contact your Broadridge Account Manager or visit our website [broadridge.com](https://broadridge.com).

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